



# OJP

## Tribal Domestic Violence and Sexual Assault Coalitions Grant Program

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### **Fiscal Year 2002 Application & Program Guidelines**

**GMS Registration Deadline:**  
February 12, 2002

**Application Deadline:**  
February 26, 2002

**U.S. Department of Justice**  
**Office of Justice Programs**  
810 7th Street, N.W.  
Washington, D.C. 20531

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**Office of Justice Programs**  
**World Wide Web Homepage:**  
*<http://www.ojp.usdoj.gov>*

**Violence Against Women Office**  
**World Wide Web Homepage:**  
*<http://www.ojp.usdoj.gov/vawo>*

**Tribal Domestic Violence & Sexual Assault Coalitions Grant Program Application**  
*<http://www.ojp.usdoj.gov/fundopps.htm>*

January 15, 2002

Dear Colleague:

Attached please find the application guidelines to assist you in preparing your new application. Applications for continuation funding will not be considered at this point in time. Applications must be submitted to the Office of Justice Programs (OJP) electronically through the OJP Grants Management System (GMS) no later than February 26, 2002. **Additionally**, an original and four (4) copies of the application must be submitted via overnight mail post marked no later than February 26, 2002, to the Violence Against Women Office (VAWO).

OJP requires you to submit your application for funding through GMS. Accessed through the Internet, this online application system will streamline the processing of your request for funding. The hard copies mailed to VAWO will expedite the review of applications.

To learn how to begin your online application process, please see the Quick-Start Guide to Using GMS in this Application Kit. A toll-free telephone number has been established for you to receive technical assistance as you work through the online application process, 1-888-549-9901. Please note: OJP policy requires that all applicants submit their applications electronically in order to be considered for a grant under the Tribal Domestic Violence and Sexual Assault Coalitions Grant Program.

You may contact the program administrator for the Tribal Coalitions Program, Paula S. Julian, at 202/305-2379, if you have any questions.

We look forward to receiving your application.

Diane M. Stuart  
Director  
Violence Against Women Office

Enclosure

# Quick-Start Guide to Using the Office of Justice Programs Online Grants Management System

**Please note:** Final applications will only be accepted through our on-line application system, including attachments submitted via facsimile. All application materials are due by 5:30 p.m. (EST) on February 26, 2002. **To expedite the application review process, an original and four (4) copies of the application must also be submitted via overnight mail post marked no later than February 26, 2002, to the Violence Against Women Office, Attention: Paula S. Julian, 810 7th Street, N.W., Washington, D.C. 20001, phone number 202/307-6026.**

- **Step 1.** Using your established Internet account,\* go to the World Wide Web page:  
**<http://www.ojp.usdoj.gov/fundopps.htm>.**  
**An online GMS User's Manual is available on this page, and you may link directly to OJP's GMS which will provide online "help" screens.**
- ◆ **Step 2.** Select "**Log on to the Grants Management System (GMS)**" to apply for OJP Program Office Grant Funding
- ◆ **Step 3.** If you have never used GMS, click on "**New User? Register Here**" and follow the on-screen instructions to register with GMS. After registration you must select the **Tribal Domestic Violence and Sexual Assault Coalitions Program** and begin working on it so that your registration will be sent to VAWO. You will receive confirmation through electronic mail that you are eligible to submit an application. It may take up to one week for you to receive confirmation that you are eligible to apply.

If you are not a new user and have a GMS password, click on "**Log in.**" If your password has expired, you will receive an "Authentication Error" or "Unauthorized User" message. If this happens, click "Having Log in Problems?" for assistance in updating your password.

**Please note:** Applicants must ensure that the authorizing official and alternate contact are filled out correctly. The signing authority is an individual authorized to accept grant funds on behalf of your agency. If the individual submitting the online application is not the signing authority, that individual must list the authorizing official's name and contact information where appropriate.

- ◆ **Step 4.** To **submit** an application online, complete the on-screen *424/Application for Federal Assistance* and attach and upload the budget narrative, budget detail worksheets, and program narrative and other program attachments in either wordprocessing or spreadsheet files. After submission, you will **receive confirmation through email** that OJP has received your application and you will be given an **application number** for future reference.

*\*If your organization does not already have an Internet account, you must establish one in order to apply online for OJP funding. To do this, call the GMS Hotline at 1-888-549-9901 for assistance.*

# FY 2002

## Tribal Domestic Violence and Sexual Assault Coalitions Application Checklist

A completed application will include items submitted on the Internet through OJP's GMS, as well as items faxed to OJP. **An original and four (4) copies of the application must also be submitted via overnight mail post marked no later than February 26, 2002, to the Violence Against Women Office, Attention: Paula S. Julian, 810 7th Street, N.W., Washington, D.C. 20001, phone number 202/ 307-6026.** Please use this checklist to ensure that your application is complete.

### **Step One: Submit the Following Information Online Through GMS:**

*See Quick-Start Guide*

- G Application for Federal Assistance (SF-424)
- G Certifications/Assurances  
*Note: Applicants will "sign off" on these assurances and certifications electronically through GMS*
- G Project Narrative  
*Note: Submit online as an attachment*
- G Budget Narrative  
*Note: Submit online as an attachment and include the Budget Detail Worksheet as part of this attachment.*
- G Other Program Attachment  
*Note: Submit online as an attachment*

### **Step Two: Fax Supporting Documents**

*These documents are not included in GMS and must be faxed to OJP as part of your application. A required supporting document is a support letter(s) from an existing Indian victim's advocacy program(s) or organization(s) or those in the community to be served. Documents must be faxed to: 202/354-4147. Please limit the submission of supporting documents. Important: Please include the grant program title, "Tribal Domestic Violence and Sexual Assault Coalitions," and the GMS application # assigned by the system in Step One.*

### **IMPORTANT: Due Date**

**All materials must be received electronically by 5:30 p.m. (EST) on  
Tuesday, February 26, 2002**

Note: Applicants who have never registered with GMS must register online at least two weeks prior to the application deadline by February 12, 2002. It may take up to one week for you to receive confirmation that you are eligible to apply. Applicants who have previously registered with GMS and have a GMS password should log onto GMS at least two-weeks prior to the application deadline to determine that their password is still valid. If your password has expired, follow the on-screen instructions or call the GMS Helpdesk at 1-888-549-9901.

**Contact.** For additional information, please contact Paula S. Julian at VAWO at 202/305-2379.

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# Introduction

The Tribal Domestic Violence and Sexual Assault Coalitions Grant Program (Tribal Coalitions Program) implements certain provisions of the Violence Against Women Act of 2000 (VAWA 2000), Public Law 106-386.

This application kit provides program and application guidelines for FY 2002 grant awards to be administered by VAWO. VAWA 2000 requires that funds be available for the development and operation of nonprofit tribal domestic violence and sexual assault coalitions in Indian country.<sup>1</sup> The purpose of the Tribal Coalitions Program is to build the capacity of survivors, advocates, and victim services providers to form nonprofit tribal domestic violence and sexual assault coalitions to advance the goal of ending violence against American Indian and Alaska Native women.<sup>2</sup> For FY 2002, Congress has appropriated \$3.42 million for the Tribal Coalitions Program. A portion of the funds provided under the Tribal Coalitions Program has been set aside to provide technical assistance to tribal coalitions.

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<sup>1</sup> Projects do not need to be located in Indian country, but must include coordination or other activities in Indian country or must benefit victims of domestic violence and sexual assault in Indian country.

<sup>2</sup> Although both women and men may be victims of domestic violence, sexual assault and stalking, women are the victims of the vast majority of these crimes. According to the Bureau of Justice Statistics, more than 85% of violent victimizations by intimate partners between 1993 and 1998 were perpetrated against women. Women are between 13 and 14 times more likely than men to be raped or sexually assaulted; for instance, in 1994, 93% of sexual assaults were perpetrated against women. Four of five stalking victims are women. Data on male victimization do not document comparable victimizations and injury levels, do not account for women who act in self defense, and do not measure financial control, intimidation, and isolation used by perpetrators of domestic violence against women. For these reasons, this application kit may refer to victims as women. However, applicants who receive grants under this program must serve all victims regardless of gender.

## Background

In 1978, the National Coalition Against Domestic Violence was created, in part, through the leadership of American Indian and Alaska Native women survivors, advocates, and their allies. The first meeting of the National Coalition Against Domestic Violence was hosted in 1979 by an American Indian nonprofit, nongovernmental organization on an Indian reservation. One year later, in 1980, the first battered women's shelter designed for Indian women opened its doors on a reservation. Prior to the shelter's establishment, Indian women opened up their homes and used their own resources to provide services to Indian victims of domestic violence and sexual assault.

These efforts by American Indian and Alaska Native, hereinafter referred to as Indian, women to improve systemic and community responses to violence against Indian women began to multiply across the nation, developing into a movement for victims' rights in Indian country. Drawing from unique traditions, Indian governments have been working in partnership with nonprofit organizations to promote the safety of Indian victims and the accountability of offenders. The passage of the Violence Against Women Act in 1994 offered additional resources and training to Indian tribes to develop specific responses to end domestic violence, sexual assault, and stalking.

Despite these considerable efforts, there are few domestic violence or sexual assault nonprofit tribal coalitions dedicated to improving systemic and community responses to Native victims in Indian country. Recent statistics highlight the need for further resources and organizations devoted to the issue of violent crimes against Indian women. The Bureau of Justice Statistics reports that between 1993 and 1998, Indians sustained violent victimization at a higher per capita rate than any other group<sup>3</sup>. Studies also indicate that Indian women suffer a disproportionate level of intimate partner violence and sexual assault.<sup>4</sup> Responding to this critical need, in FY 2001 Congress appropriated resources for the development of nonprofit tribal domestic violence and sexual assault coalitions to address the unique issues that confront Native victims. The Tribal Coalitions Program provides much needed resources for organizing and supporting efforts to end violence against Indian women.

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<sup>3</sup> Rennison, Callie, *Violent Victimization and Race*, Washington DC: Bureau of Justice Statistics, March 2001, NCJ 176354, p. 1.

<sup>4</sup> Tjaden, Patricia, and Nancy Thoennes, *Extent, Nature, and Consequences of Intimate Partner Violence*, Findings from the National Violence Against Women Survey, Washington, DC: National Institute of Justice, July 2000, NCJ 181867, p. 25.

## Scope of Program

A coalition is a group of individuals, victim services providers and/or organizations working together in a common effort, for a common purpose to make more effective and efficient use of resources. The common purpose of tribal domestic violence and sexual assault coalitions must include the following: ending violence against Indian women; ensuring the safety of Indian victims of domestic violence and/or sexual assault; and promoting the accountability of offenders. The leadership and expertise of Indian survivors who have been battered and/or sexually assaulted or persons who have experience working with Indian victims of domestic violence and/or sexual assault are critical to the successful development and operation of nonprofit tribal domestic violence and sexual assault coalitions.

Grant funds may be used for, but are not limited to, the following activities:

- establishing and maintaining an office and hiring staff (reasonable costs in connection with the establishment of an organization are allowable);
- providing technical assistance to coalition members, programs, organizations, and service providers;
- expanding the capacity of coalitions;
- developing or enhancing appropriate standards of services for service providers;
- conducting statewide, regional, and/or tribally-based meetings or workshops for tribal victim advocates, survivors, community members, legal services staff, health care professionals, and criminal justice representatives;
- bringing local tribal programs together to identify gaps in services and to coordinate activities;
- coordinating and presenting public awareness or community education programs (including education for youth) to increase understanding of domestic violence and sexual assault;
- engaging in systems advocacy to effect policy and/or procedural change in order to improve institutional responses to domestic violence and sexual assault, except as prohibited by 28 CFR Part 69, which restricts the use of federal funds for the purposes of lobbying; and
- providing limited direct services and advocacy to victims of domestic violence or

sexual assault including crisis hotlines, assistance with shelter and transitional housing, court accompaniment, referrals, support groups, and civil legal services. *(The primary purpose of these funds is not to provide direct services, although such services may be one part of a comprehensive project.)*

Grant funds may not be used for certain activities. Prohibited activities include, but are not limited to, the following:

- hiring a grant writer; and
- addressing child abuse outside the context of domestic violence and/or sexual assault.

### **Project Products**

The Tribal Coalitions Program offers an opportunity to share information about approaches and promising practices utilized by nonprofit tribal domestic violence and sexual assault coalitions in order to end violence against Indian women. The Tribal Coalitions Program therefore requires grantees to develop and submit products to VAWO that can be shared with other grantees. Products may include, but are not limited to: mission statement; strategic plan; articles of incorporation; policies and protocols; memoranda of understanding; curricula; public education and training materials; and audio-visual materials.

## **Eligibility**

Eligible applicants are either established nonprofit coalitions, or organizations that will obtain nonprofit status within eight months from the beginning of the project period, that have as their primary mission to end violence against American Indian and/or Alaska Native women. Tribal coalitions that received funding under FY 2001 are not eligible to apply under FY 2002.

Coalitions are not required to organize across a particular type of geographic entity. Eligible applicants may include (but are not limited to): local tribal coalitions; statewide tribal coalitions; regional tribal coalitions (intrastate or interstate); and national tribal coalitions. Moreover, eligible coalitions may choose to focus on domestic violence or sexual assault, or may develop an approach that addresses both crimes.

The leadership and expertise of Indian victims who have been battered and/or sexually assaulted or persons who have experience working with Indian victims of domestic violence and/or sexual assault must be evident in the development and implementation of any coalition under this program. Members of the nonprofit coalition should be comprised of domestic violence and/or sexual assault services providers or victim advocacy organizations that work tribally, statewide, regionally, or nationally to institute systemic reform. In addition, coalition members should include allied organizations, service providers, and individuals who also are committed to ending domestic violence and/or sexual assault and who represent various components of a community, including religious leaders, health care professionals, law enforcement personnel, prosecutors, judges and court personnel, and legal services professionals. In addition, coalitions should have broad-based representation, including elders and youth.

## **Availability of Funds**

The appropriation for the Tribal Coalitions Program in Fiscal Year 2002 is \$3.42 million. The award period for these grants is 24 months. Requests for funding must be reasonable. Awards to coalitions are unlikely to be made for amounts exceeding \$300,000.

## Review Process

The Tribal Coalitions Program is a competitive program. VAWO will carefully review each application for FY 2002 funding and may use an external peer review process. The information provided in the application will be reviewed against the selection criteria established for the Tribal Coalitions Program. The selection criteria include:

- The application demonstrates, through a mission statement, a clear vision for promoting victim safety and offender accountability through advocacy that includes public awareness, community education, training and technical assistance, referrals, partnerships, and coordination of services.
- The application reflects that the persons in leadership positions are either Indian survivors of domestic violence and/or sexual assault or have a background in and experience working with Indian victims of domestic violence and/or sexual assault.
- The application includes at least one letter of support from existing tribal domestic violence or sexual assault victim advocacy programs or organizations, or community members to be served.
- The application describes the impact of current or prior efforts to prevent and reduce violence against women in the tribal community and details the need for the tribal coalition.
- The planning, development and implementation strategy, organizational and staff capacity, and general timeline are clearly described.
- The budget is reasonable as it relates to proposed project activities.

## How to Apply

OJP requires you to submit your application for funding through GMS. Access through the Internet to this online application system will streamline the processing of your request for funding. To expedite the application review process, an original and four (4) copies of the application must also be submitted via overnight mail post marked no later than February 26, 2002, to the Violence Against Women Office, Attention: Paula S. Julian, 810 7th St., N.W., Washington, D.C. 20001 (zip code for overnight mail), phone number 202/307-6026.

To learn how to begin your online application process, please see the Quick-Start Guide to Using GMS at the front of this application kit. A toll-free telephone number has been established for you to receive technical assistance as you work through the online application process, 1-888-549-9901.

Applications will be accepted immediately, but must be received electronically no later than  
**5:30 p.m. (EST) on Tuesday, February 26, 2002**

with hard copies submitted via overnight mail post marked no later than February 26, 2002, to the Violence Against Women Office, Attention: Paula S. Julian, 810 7th Street, N.W., Washington, D.C. 20001, phone number 202/307-6026.

Please note: OJP policy requires that all applicants submit their applications electronically in order to be considered for a grant under the Tribal Coalitions Program.

# Application Contents

Applications should demonstrate the applicant's knowledge and understanding of domestic violence and/or sexual assault. Applicants should carefully consider the resources needed to successfully develop and operate a nonprofit tribal domestic violence and/or sexual assault coalition and present a realistic budget that accurately reflects project costs. A fully executed application must include the following:

## **1. APPLICATION FOR FEDERAL ASSISTANCE (SF-424)**

The SF-424 will be completed online through GMS. The Catalog of Federal Domestic Assistance number for this Program is 16.587 and the title is "Tribal Domestic Violence and Sexual Assault Coalitions Grant Program." The federal cognizant audit agency and fiscal year of the applicant organization should be listed in block 11 of the form. **As you are filling out the contact information, GMS will ask you if you are the "signing authority." The signing authority is an individual authorized to accept grant funds on behalf of your organization. If you are not the signing authority, you must list the authorizing official's name and contact information.**

## **2. ASSURANCES (Form 4000/3) and Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements (Form 4061/6)**

Review the enclosed forms. You will be agreeing to these assurances and certifications when you submit your application online through GMS.

## **3. PROJECT NARRATIVE**

- Abstract (not to exceed 1 page): The abstract should present a summary of the proposed project.
- Information about the existing or proposed coalition (not to exceed 2 pages):
  - Include background information such as name, history, membership requirements, etc.
  - Include the coalition's mission statement and any accomplishments.
- Names of those currently in leadership positions (or points of contact). Include resumes or a summary describing experience working with Indian victims of domestic violence and/or sexual assault.

- ❑ Implementation plan (not to exceed 8 pages), including:
  - the project goals and action plan, including a time line and a brief description of responsible individuals and agencies;
  - the staffing needs, including job descriptions identifying the responsibilities of proposed staff positions and qualifications that would be required of key staff conducting and managing the proposed project;
  - technical assistance and training needs of the coalition; and
  - products to be developed by the coalition.

**4. BUDGET DETAIL WORKSHEET AND NARRATIVE**

The budget detail worksheet and narrative should include estimated costs for planning and implementing the coalition's goals for a 24 month (2-year) period. The budget must be complete, reasonable, and cost-effective in relation to the proposed project activities. The budget should provide the basis for the computation of all project-related costs. It should cover the costs of all components of the project and clearly identify costs attributable to the project evaluation. A Budget Detail Worksheet has been included in Appendix B. Match is not required for the Tribal Coalitions Program. The budget should describe clearly:

- ❑ the proposed amount and uses of grant funds over the grant period; and
- ❑ an explanation of how the amounts of the specific budget items were determined.

**MANDATORY TRAINING**

Attendance at technical assistance and training sessions that will be sponsored by the Violence Against Women Office is mandatory for all grant recipients. At least \$15,000 must be set aside to pay for the travel costs of five coalition representatives to attend meetings and trainings. This amount should be included in the “travel” category. Please provide an estimated breakdown for the amount (include estimates for the number of trips, number of travelers, airfare or mileage, lodging, per diem, etc.). A sample travel budget for these costs is included in Appendix B.

**OJP FINANCIAL GUIDE**

Grant funds are governed by the provisions of OMB Circulars A-102, Grants and Cooperative Agreements with State and Local Governments (Common Rule), A-110 Uniform Administrative Requirements for Grants and Agreements With Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations, A-87 Cost Principles for State, Local and Indian Tribal Governments, A-122 Cost Principles for Non-Profit Organizations, and A-133 Audits of States,

Local Governments, and Non-Profit Organizations. Additional information and guidance are contained in OJP's *Financial Guide*. The *Financial Guide* includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. Copies of the *Guide* are available from the Department of Justice Response Center (1-800-421-6770) and also through the Internet on the OJP Home Page:

<http://www.ojp.usdoj.gov/OC/FinGuide/guide.htm>

**5. SUPPORT LETTER(S) FROM EXISTING TRIBAL DOMESTIC VIOLENCE OR SEXUAL ASSAULT VICTIM ADVOCACY PROGRAMS OR ORGANIZATIONS**

Applicants must include a letter(s) from existing tribal domestic violence or sexual assault victim advocacy programs or organizations or community members to be served describing their support of the coalition's mission statement and/or proposed project. Please write the GMS application number on the top of each page and fax to 202/354-4147.

## **Administrative Requirements**

**Assurances.** The application form includes a list of assurances that the applicant must comply with in order to receive federal funds under this program. It is the responsibility of the recipient of the federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. This form must be submitted along with your completed application.

**Human Subject Testing.** The Department of Justice (DOJ) is a signatory to the federal policy on protection of human subjects of research, the "Common Rule." DOJ's incorporation of the Common Rule is set forth in 28 CFR Part 46 - Protection of Human Subjects, which requires that research involving human subjects be submitted to an independent review board for approval and that informed consent procedures be followed. The policies set forth in 28 CFR Part 46 apply to all research involving human subjects conducted, supported, or otherwise subject to regulation by any federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied, if the research is not covered by an exemption set forth in 28 CFR section 46.101(b)(1).

The applicant must indicate whether the project or activity in its application includes research which may involve human subjects, as defined in 28 CFR Part 46.

**Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements.** The applicant is required to complete, sign, and include a copy in its application of the Certification Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements forms. By signing this certification, the applicant agrees to comply with the following requirements:

**Lobbying:** The applicant and its subgrantees, contractors and subcontracts, will not use federal funds for lobbying and will disclose any lobbying activities.

**Debarment:** The applicant and its principals have not been debarred or suspended from federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

**Drug-Free Workplace:** The applicant will or will continue to provide a drug-free workplace.

Signing this form commits the applicant to compliance with the certification requirements

under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Non-procurement) and Government-Wide Requirements for Drug Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by DOJ in making awards.

**Single Point of Contact Review.** Executive Order 12372 requires applicants from state and local units of government or other organizations providing services within a state to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the state. Applicants must contact their state SPOC to determine if the program has been selected for state review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in block 16 on the *Application for Federal Assistance*, SF-424. You can find the listing of the state SPOC at the following website address:

<http://www.whitehouse.gov/omb/grants/spoc.html>

**Civil Rights Compliance.** All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to OJP's Office of Civil Rights . All applicants should consult the Assurances required with the application funds to understand the applicable legal and administrative requirements.

**NEPA Compliance.** The use of these grant funds are subject to compliance with the National Environmental Policy Act (42 U.S.C. Section 4331 et seq.) and other related federal environmental impact review requirements including the National Historic Preservation Act (16 U.S.C. Section 470, et seq.). These requirements are triggered whenever activities such as construction or renovation are planned either (1) with the use of grant funds or (2) the applicant's or a third party's funds, as long as the proposed construction or renovation is a prerequisite to the use of the grant funds. Whenever these environmental impact review requirements are applicable to a grant activity, the applicant must assist OJP in their satisfactory completion prior to the commitment of the affected funds. This assistance may include, at a minimum, providing information on the age and historic importance of any buildings to be affected as well as their floodplain status. Applicants may also be requested to assist OJP prepare environmental assessments, should an assessment be required.

## Reporting Requirements

### Program Performance.

a) As a special condition to awards made under the Tribal Coalitions Program, grantees will be required to cooperate with VAWO, other Department of Justice components, and VAWO designated contractors on officially-sponsored evaluation initiatives and reporting requirements.

b) As a result of VAWA 2000, all grant recipients are now statutorily required to report on the effectiveness of their programs, and the Attorney General must now report to Congress on the effectiveness of each tribal coalition project. Therefore, a special condition will be placed on awards made under the Tribal Coalitions Program that will require grantees to collect and maintain information that measures the effectiveness of their efforts to combat domestic violence and/or sexual assault. If appropriate, this assessment should be designed to provide ongoing or periodic feedback in the semi-annual progress reports on the effectiveness or utility of particular programs, educational offerings, or achievements, which could then be further refined during the remainder of the project period.

The type of information that measures a tribal coalition's effectiveness and achievement within the scope of the program as outlined on page 3 may include, but is not limited to, the following:

- attempts to obtain nonprofit status by the tribal coalition and obtaining that status within the project period;
- the number and types of service providers partnering and/or collaborating with and the resulting projects (e.g., cross training sessions, memorandum of understanding, etc.);
- the number of training sessions held, for which service providers and/or community members training sessions were provided, and the resulting changes in policies and the provision of services;
- the number of requests for and provision of technical assistance to various service providers and the resulting changes in policies and provision of services;
- the number of requests for the development of educational products and materials and the development of such materials;

- ❑ the number of community awareness and outreach efforts and the changes in community attitudes;
- ❑ the number of efforts to effect policy and procedural changes in institutional systems (i.e. changes in tribal codes, arrest policies, etc.) and the resulting success; and
- ❑ in the limited instances where direct services are provided, the number of persons served, increases in the number of persons served, type of services provided, the number of persons who could not be served, increases or decreases in the number of persons who could not be served, and if possible, the reason(s) why services could not be provided.

❑ **Financial Status Report.** Financial status reports (SF 269-A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award.

❑ **Single Audit Report.** Recipients who expend \$300,000 or more of federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report is currently due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

❑ **Semi-Annual Progress Report.** Recipients of funding are required to submit semi-annual progress reports. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. Report forms will be provided to the recipient by the Office of the Comptroller.

Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

## Suspension or Termination of Funding

OJP may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient who has failed to comply substantially with the following:

- The requirements and statutory objectives of the Violence Against Women Act and Violence Against Women Act of 2000;
- The regulations and guidelines issued for the Violence Against Women Act and Violence Against Women Act of 2000;
- The application submitted in accordance with the Violence Against Women Act or other provision of any other applicable federal act.

OJP will provide reasonable notice of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 28 CFR, part 18.

## Definitions

**DOMESTIC VIOLENCE** - The term *domestic violence* includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other adult person against a victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction receiving grant monies.

**SEXUAL ASSAULT** - The term *sexual assault* means any conduct proscribed by Chapter 109A of Title 18, United States Code, whether or not the conduct occurs in the special maritime and territorial jurisdiction of the United States or in a federal prison, and includes both assaults committed by offenders who are strangers to the victim and assaults committed by offenders who are known or related by blood or marriage to the victim.

**VICTIM SERVICES** - The term *victim services* means a tribal nonprofit, nongovernmental organization that assists domestic violence or sexual assault victims, including rape crisis centers, battered women's shelters, and other sexual assault or domestic violence programs, including nonprofit, nongovernmental organizations assisting domestic violence or sexual assault victims through the legal process.

**TRIBAL COALITION** - The term *tribal coalition* means a membership organization formed on a tribal, intertribal, statewide, regional, or national level that has the mission of organizing to end violence against American Indian and Alaska Native women (see Scope of Program section).

**NONPROFIT** - Nonprofit organization means any corporation, trust, association, cooperative, or other organization which:

- 1) is operated primarily for educational, service, humanitarian, or similar purposes in the public interest;
- 2) is not organized primarily for profit; and
- 3) uses its net proceeds to develop, maintain, improve, and/or expand its operations.

**INDIAN TRIBE OR TRIBAL** - The term *Indian tribe* or *tribal* means a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 et seq.)), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians.

**NATIVE OR INDIAN** - The term *Native* or *Indian* means a person who is a member of an Indian tribe.



**APPENDIX A**

Standard Application Form (SF-424)

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier
		3. DATE RECEIVED BY STATE	State Application Identifier
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. APPLICANT INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state and zip code):		Name and telephone number of the person to be contacted on matters involving the application (give area code)	
6. EMPLOYER IDENTIFICATION (EIN) <input type="text"/> <input type="text"/> - <input type="text"/>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/>	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____		A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private Industry K. Indian Tribe L. Individual M. Profit Organization N. Other (specify): _____	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>		9. NAME OF FEDERAL AGENCY:	
TITLE:		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):			
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ .00	a. YES. THIS PREAPPLICATION/APPLICATIN WAS MADE A VALIABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ .00	b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. TOTAL	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed	

## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	<b>Type of Submission:</b> If this proposal is not for construction or building purposes, check the "Non-Construction" box in the application section.
2	<b>Date Submitted:</b> Indicate the date you sent the application to OJP. The "Application Identifier" is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3	<b>Date Received by State:</b> Leave blank. This item is completed by the State single point of contact, if applicable.
4	<b>Date Received by Federal Agency:</b> Leave blank. This item will be completed by OJP.
5	<b>Applicant Information:</b> The "Legal Name" is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6	<b>Employer Identification Number:</b> Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller.
7	<b>Type of Applicant:</b> Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering "consortium".
8	<b>Type of Application:</b> Check either "new" or "continuation". Check "new", if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check "continuation", if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
9	<b>Name of Federal Agency:</b> Type in the name of the awarding agency, "[insert agency name]"
10	<b>Catalog of Federal Domestic Assistance Number:</b> This would be contained in the program announcement. The number for this program would be 16.587.
11	<b>Descriptive Title of Applicant's Project:</b> Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant's fiscal year, i.e. twelve month audit period, ex. 10/1/97 - 9/30/98.
12	<b>Areas Affected by Project:</b> Identify the geographic area(s) of the project. Indicate "Statewide" or "National", if applicable.
13	<b>Proposed Project Dates:</b> Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
14	<b>Congressional Districts:</b> Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide" or "National", if applicable.
15	<b>Estimated Funding:</b> In line "a", enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
16	<b>State Executive Order 12372:</b> Some states require you to submit your application to a State "Single Point of Contact" (SPOC) to coordinate applications for Federal funds within the state. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17	<b>Delinquent Federal Debt:</b> This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.

**18**

**Authorized Representative:** Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as "original" to help distinguish the original from the photocopies.

**APPENDIX B**

Budget Detail Worksheets

**Budget Detail Worksheet**

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

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**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

<b>Name/Position</b>	<b>Computation</b>	<b>Cost</b>
----------------------	--------------------	-------------

**TOTAL** \_\_\_\_\_

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**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
---------------	-------------	------

**TOTAL** \_\_\_\_\_

**Total Personnel & Fringe Benefits** \_\_\_\_\_

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
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**TOTAL** \_\_\_\_\_

**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included either in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
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**TOTAL** \_\_\_\_\_

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**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

<b>Supply Items</b>	<b>Computation</b>	<b>Cost</b>
		<b>TOTAL</b> _____

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**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable, Consult with the program office before budgeting funds in this category.

<b>Purpose</b>	<b>Description of Work</b>	<b>Cost</b>
		<b>TOTAL</b> _____

---

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

<b>Name of Consultant</b>	<b>Service Provided</b>	<b>Computation</b>	<b>Cost</b>
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**Subtotal** \_\_\_\_\_

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging etc.).

<b>Item</b>	<b>Location</b>	<b>Computation</b>	<b>Cost</b>
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**Subtotal** \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<b>Item</b>	<b>Cost</b>
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**Subtotal** \_\_\_\_\_

**TOTAL** \_\_\_\_\_

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**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
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**TOTAL** \_\_\_\_\_

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**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
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**TOTAL** \_\_\_\_\_

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**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
<b>A. Personnel</b>	_____
<b>B. Fringe Benefits</b>	_____
<b>C. Travel</b>	_____
<b>D. Equipment</b>	_____
<b>E. Supplies</b>	_____
<b>F. Construction</b>	_____
<b>G. Consultants/Contracts</b>	_____
<b>H. Other</b>	_____
<b>Total Direct Costs</b>	_____
<b>I. Indirect Costs</b>	_____
<b>TOTAL PROJECT COSTS</b>	_____
<b>Federal Request</b>	_____
<b>Non-Federal Amount</b>	_____

# Sample

OMB Approval No. 1121-0188  
Expires 5-98 (Rev. 12/97)

## TRAVEL SECTION ONLY

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved, Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
VAWO mandated travel				
5 coalition representatives will attend 3 training/technical assistance sessions				
	TBD	Airfare	(\$365 x 5 people x 3 trips)	\$ 5,475
	Hotel		(\$115/night x 4 nights x 5 people x 3 trips)	\$ 6,900
	Meals		(\$35/day x 5 days x 5 people x 3 trips)	\$ 2,625
The \$15,000 VAWO training has been budgeted in accordance with the program guidelines. The sites of the training sessions are unknown at this time.				
				<b>TOTAL</b> <u>\$15,000</u>

## **APPENDIX C**

### **Assurances**

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

**APPENDIX D**

**Certifications Regarding Lobbying;  
Debarment, Suspension and other Responsibility Matters;  
and Drugfree Workplace Requirements**



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its Instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510, -

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUGFREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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Check  if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check  if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE  
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620 —

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<p><b>1. Type of Federal Action:</b></p> <p><input type="checkbox"/> a. contract  <input type="checkbox"/> b. grant  <input type="checkbox"/> c. cooperative agreement  <input type="checkbox"/> d. loan  <input type="checkbox"/> e. loan guarantee  <input type="checkbox"/> f. loan insurance</p>	<p><b>2. Status of Federal Action:</b></p> <p><input type="checkbox"/> a. bld/offer/application  <input type="checkbox"/> b. initial award  <input type="checkbox"/> c. post award</p>	<p><b>3. Report type:</b></p> <p><input type="checkbox"/> a. initial filing  <input type="checkbox"/> b. material change</p> <p><b>For Material Change Only:</b></p> <p>year _____ Quarter _____  date of last report _____</p>
<p><b>4. Name and Address of Reporting Entity:</b></p> <p><input type="checkbox"/> Prime      <input type="checkbox"/> Subawardee</p> <p style="padding-left: 40px;">Tier _____, <i>if known</i></p> <p style="margin-top: 20px;"><b>Congressional District, <i>if known</i>:</b></p>		<p><b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b></p> <p style="margin-top: 20px;"><b>Congressional District, <i>if known</i>:</b></p>
<p><b>6. Federal Department/Agency:</b></p>	<p><b>7. Federal Program Name/Description:</b></p> <p style="margin-top: 20px;">CDFA Number, <i>if applicable</i>: _____</p>	
<p><b>8. Federal Action Number, <i>if known</i>:</b></p>	<p><b>9. Award Amount, <i>if known</i>:</b></p> <p style="text-align: center;">\$ _____</p>	
<p><b>10. a. Name and Address of Lobbying Entity (<i>if individual, last name, first name, MI</i>)</b></p>	<p><b>b. Individuals Performing Services (<i>including address if different from No. 10a</i>) (<i>last name, first name, MI</i>)</b></p>	
<p><b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of the fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b></p>	<p><b>Signature:</b> _____</p> <p><b>Print Name:</b> _____</p> <p><b>Title:</b> _____</p> <p><b>Telephone No.:</b> _____      <b>Date:</b> _____</p>	
<p><b>Federal Use Only:</b></p>		<p style="text-align: right;"><b>Authorized for Local Reproduction Standard Form - LLL</b></p>

## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identifying the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI)>
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046); Washington, D.C. 20503.